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Constitute (APR) 1449A/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete if Known

Application Number 09849168

Filling Date 5/4/01

First Named Inventor MICHAEL NEAL

Group Art Unit 3623

Examiner Name STEPHEN BYLCIW

Attorney Docket Number DT:0101

U.S. PATENT DOCUMENTS										
Examiner	Cite	U.S. Patent Document		Name of Patentee or Applicant	Date of Publication of	Pages, Columns, Lines, Where Relevant				
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>5</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute HATTE 1449A/PTO Complete if Known **Application Number** 09849168 INFORMATION DISCLOSURE Filing Date 5/4/01 STATEMENT BY APPLICANT **First Named Inventor** MICHAEL NEAL Group Art Unit 3623 (use as many sheets as necessary **Examiner Name** STEPHEN BYLCIW 2 **Attorney Docket Number** Sheet 2 of DT:0101

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<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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Form 1449 (Modified)

Atty Docket No. DT: 0101

Application No.: 09/849,168

. Information Disclosure Statement By Applicant Applicant: NEAL et al. Filing Date

EXAMINER: STEPHEN
Group 3623 BYLCIW

(Use Several Sheets if Necessary)

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Examiner	Cite	U.S. Patent Do	cument	Name of Patentee or Applicant	Date of Publication of	Pages, Columns, Lines, Where Relevant				
tnitials	No.1	Number	Kind Code <sup>2</sup>	of Cited Document	Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear				
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<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is ettached.

Sheet 1 of 1 U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SERIAL NO. SEP 0 2 2003 PATENT AND TRADEMARK OFFICE 09/849,168 DT-0101 APPLICANT DOCUMENTS CITED BY APPLICANT **NEAL** TO COMPLY WITH 37 C.F.R. 1.56 **GROUP FILING DATE** TEPHEN BYLCIW 05/04/01 Unknown **U.S. PATENT DOCUMENTS** CLASS **SUBCLASS EXAMINER** DOCUMENT DATE NAME **FILING DATE IF INITIAL\*** NUMBER **APPROPRIATE** AA 6,025,686 <del>05/18/2000</del> Fernandez et al. Mot FOUND 50 01/09/2001 William A. Stevens AB 6,173,345 FOREIGN PATENT DOCUMENTS NAME SUBCLASS TRANSLATION DOCUMENT DATE **CLASS** NUMBER SB WO 98/53415 11/26/1998 Ouimet et al. OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) "PCT International Search Report", Application Number PCT/US02/36710, mailed July CA SB 21, 2003. YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten CB Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only). EXAMINER, **DATE CONSIDERED** 5-20-2005 \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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Sheet 1 of 1 U.S. DEPARTMENT OF COMMERCE ATTY. DOCKET NO. SERIAL NO. PATENT AND TRADEMARK OFFICE 09/849,168 DT-0101 APPLICANT ITS CITED BY APPLICANT NEAL Y WITH 37 C.F.R. 1.56 3623 STEPHEN BYLCIW FILING DATE **GROUP** 05/04/2001 U.S. PATENT DOCUMENTS CLASS **SUBCLASS** DATE NAME **EXAMINER** DOCUMENT FILING DATE IF INITIAL\* NUMBER APPROPRIATE 53 AA 6,456,986 09/24/2002 Boardman et al. 53 AB 6,397,193 05/28/2002 Walker et al. 50 Walker et al. AC 6,341,268 01/22/2002 SB Walker et al. AD 6,134,534 10/17/2000 RECEIVED つり ΑĒ 6,052,686 04/18/2000 Fernandez et al. FEB 2 3 2004 08/03/1999 Teicher et al. 5B **AF** 5,933,813 50 08/04/1998 Gordon et al. AG 5,790,643 AH 5,765,143 06/09/1998 Sheldon et al. 5B FOREIGN PATENT DOCUMENTS CLASS SUBCLASS TRANSLATION NAME DOCUMENT DATE NUMBER YES NO OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) "PCT International Search Report", Application Number PCT/US03/30488, mailed CA 53 January 28, 2004. Bruce G.S. Hardie et al., "Attribute-based Market Share Models: Methodological CB 53 Development and Managerial Applications", University of Pennsylvania, Working Paper 98-009, pp. 1-48, 1998. Rossi, Delorgio, & Kantor; "Making Sense of Scanner Data;" Harvard Business Review, 53 CC Reprint F00205, 2000. "Pacificorp IRP: Renewables Costs Must Drop 65% to be Competitive with Gas," dated CD 5 B December 8, 1995. CE Robert J. Dolan, "How Do You Know When the Price is Right?", Harvard Business 53 Review, September-October 1995, P. 4-11 DATE CONSIDERED **EXAMINER** 5-20-2005 \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet 1 of 1 **U.S. DEPARTMENT OF COMMERCE** ATTY. DOCKET NO. SERIAL NO. PATENT AND TRADEMARK OFFICE DT-0101 09/849,168 LIST OF DOCUMENTS CITED A PELICANT TO COMPLY WITH 37 C.F.R. 1.56 **APPLICANT NEAL** 3623 STEPHEN BYLCIW FEB 0 7 2005 **FILING DATE GROUP** 05/04/2001 <del>Unknow</del>n ATENT DOCUMENTS **EXAMINER** DOCUMENT NAME **CLASS** SUBCLASS **FILING DATE IF** INITIAL\* NUMBER APPROPRIATE 5B AA 6,567,824 05/20/03 Fox SB AB6,321,207 11/20/01 Ye FOREIGN PATENT DOCUMENTS DOCUMENT DATE NAME **CLASS** SUBCLASS TRANSLATION NUMBER YES NO OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) 5-20-2005 Shiphen By laur **EXAMINER** DATE CONSIDERED \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.